



PTO/SB/21 (08-00)

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TRANSMITTAL FORM

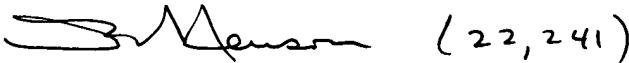
(to be used for all correspondence after initial filing)

		Application Number	09/897,437
		Filing Date	07/03/2001
		First Named Inventor	RAM, PRANIL
		Group Art Unit	2164
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	6406-1 (B)

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Donald E. Hewson (Marks & Clerk)	
Signature	 (22,241)	
Date	October 10, 2001	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

Typed or printed name		
Signature	Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 2593.00)

Complete if Known

Application Number	09/897,437
Filing Date	07/03/2001
First Named Inventor	RAM, Pranil
Examiner Name	
Group Art Unit	2164
Attorney Docket No.	6406-1 (B)

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 08-2040
Deposit Account Name Marks & Clerk

Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

Applicant claims small entity status.
See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201	370 Utility filing fee	370.00
106	330	206	165 Design filing fee	
107	510	207	255 Plant filing fee	
108	740	208	370 Reissue filing fee	
114	160	214	80 Provisional filing fee	

SUBTOTAL (1) (\$ 370.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
232	-20** = 212	x 9.00	= 1908.00
Independent Claims	8	- 3** = 5	x 42.00 = 210.00
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description
103	18	203	9 Claims in excess of 20
102	84	202	42 Independent claims in excess of 3
104	280	204	140 Multiple dependent claim, if not paid
109	84	209	42 ** Reissue independent claims over original patent
110	18	210	9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$2118.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	65.00
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,280	241 640 Petition to revive - unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	40.00
146	740	246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 105.00)

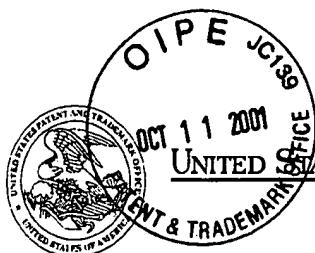
SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Donald E. Hewson	Registration No. (Attorney/Agent)	22,241	Telephone	905-272-2252
Signature				Date	10/10/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



OCT 11 2001

UNITED STATES PATENT & TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/897,437	07/03/2001	Pranil Ram	6406-1

CONFIRMATION NO. 8157

23477
 DONALD E. HEWSON
 350 BURNHAMTHORPE ROAD WEST
 SUITE 402
 MISSISSAUGA, ON L5B 3J1
 CANADA

FORMALITIES LETTER



OC000000006455590

Oct. 21/01

File Missing Parts

Date Mailed: 08/21/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$4216.
 - \$3816 for 212 total claims over 20.
 - \$400 for 5 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 5056.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/15/2001 MBELETE1 00000023 09897437

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:202	210.00 OP
04 FC:203	1908.00 OP

RECEIVED

MARKS & CLERK - MISSISSAUGA



(3)

Marks & Clerk

Patent and Trade-Mark Agents

Suite 402, 350 Burnhamthorpe Road West
Mississauga, Ontario L5B 3J1, CANADA

Telephone: (905) 272-2252
Facsimile: (905) 272-2557
e-mail: dhewson@to.markclerk.com

Our Ref: 6406-1(B)

Please reply to: Donald E. Hewson

Your Ref:

Wednesday, October 10, 2001

The Commissioner of Patents
The United States Patent Office
Crystal Plaza Two
2011 Jefferson Davis Highway
Arlington, Virginia
22202 U.S.A.

Dear Sir:

Re: United States Patent Application Serial No.: 09,897,437, Filed: 07/03/2001
Inventors: RAM et al
Title: **INTERACTIVE GRID-BASED GRAPHICAL TRADING SYSTEM
FOR REAL TIME SECURITY TRADING**
Group Art Unit: 2164
Confirmation No.: 8157

This is responsive to the Notice to File Missing Parts of Application, Filing Date Granted, mailed August 21, 2001, in the above application.

Please find **enclosed** herewith the following:

1. Declaration for Patent Application, executed by the inventors herein.
2. Power of Attorney document, executed by the inventors on August 12, 2001.
3. Copy of Notice to File Missing Parts of Application which is required to be returned with the submission of the required documents.
4. Assignment Papers and Recordation Cover Sheet.
5. New drawings (55 Figures, 55 Sheets).

6. An authorization to pay \$2,593.00 US in payment of all requisite fees (see attached Fee Calculation Sheet), together with Credit Card Payment Form PTO-2038.

The Patent Office is authorized to charge any additional fees required to be paid, or to refund any overpayment of fees, to our Deposit Account 08-2040. A duplicate copy of this letter is enclosed herewith for use by the Cashier's Office.

It is believed that the filing requirements of the above application have now been met, and it is requested that this application be forwarded to the Examiner for his consideration, in due course.

If it will expedite prosecution of this application, the Examiner is cordially invited to telephone the undersigned, collect if necessary, at the telephone number noted above.

Respectfully submitted,
MARKS & CLERK



Donald E. Hewson - Registration No.: 22,241

DEH:nh

Encls.

c.c. Yumi Inagaki, M&C (Mississauga) Accounting

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c.c. Yumi Inagaki, M&C (Mississauga) Accounting